

# DOE-SR FOCI Submission

RFP / Contract Number	Start Date	End Date	Number _____ of Options for _____ years
Respondent's (offeror or parent) Legal Identity		Relationship of Respondent to Offeror	
Respondent's Principle Address		State of Incorporation and Full Date	
Official Designated to Answer Questions Concerning this Information		Telephone Number	

**Does your company (to include Tier Parents) have a current FOCI determination issued or presently pending by any Department of Energy (DOE) / Department of Defense (DOD) field office?**

☐ Yes ☐ No

If **"Yes"**, identify field office and date of prior FOCI Certificate Pertaining to Foreign Interests, facility code/cage code, sign and date below, and return to SR procurement representative. **NOTE: A separate form is required for each tier parent.**

If **"No"**, the following documents must be returned as a part of this FOCI Submission package:

- ☐ This cover sheet.
- ☐ Statements of bidders/Offerors.
- ☐ Certificate Pertaining to Foreign Interests (SF328).
- ☐ Key Management Personnel Form (KMP) to include Facility Security Officer.
- ☐ Representative of Foreign Interest Statement Form(s).
- ☐ Publicly Traded Corporations: Annual Report, most recent SEC Forms 10K, and proxy statement.
- ☐ Private Corporations: Current audited consolidated financial information.
- ☐ Corporations: Attested copy of Corporate By-Laws to include all amendments.
- ☐ Other \_\_\_\_\_
- ☐ Other \_\_\_\_\_

**NOTE: Several forms above are available via e-FOCI. Contact applicable FOCI Coordinator or Representative**

**Is your company (to include Tier Parents) currently under a FOCI Mitigation Plan?**

☐ Yes ☐ No

If **"Yes"**, identify the type of Mitigation Plan.

## Type of Business Structure

- ☐ Private Corporation
- ☐ Sole Proprietorship
- ☐ General Partnership
- ☐ Public Corporation
- ☐ Limited Partnership
- ☐ Other \_\_\_\_\_

List Legal Identities of Parent Companies (all tiers) – if more than one tier company exists, tier rankings must be identified.

**Rank**

**Legal Name**

**The offeror's submission must include, as a separate attachment, a complete FOCI submission for each tier parent.**

☐ Yes ☐ No

Has your organization changed or used other names during the last 10 years? If **Yes**, attach a complete listing of all name changes, and names used (including "DBA's"), indicating applicable periods.

☐ Yes ☐ No

Has your organization changed principle locations during the last 10 years? If **Yes**, attach a complete listing of all principle address locations during the last 10 years, indicating applicable periods.

I understand that the information provided is required to aid the DOE in identifying and mitigating factors of foreign ownership, control, and influence over my company as prescribed by DOE Order 470.4B, Change 1, and DOE Order 472.2. I understand that failure to submit complete and correct information and documentation responsive to the attached "Guidelines for Completing the FOCI Package / Certification" may preclude contract eligibility **and** furthermore, that intentional omission or falsification of information relative to a FOCI submission constitutes a felony criminal violation of 18 USC 1001 providing for penalties including fines up to \$10,000 and /or imprisonment up to 5 years.

**Official verifying submitted information as complete and correct:**

\_\_\_\_\_  
Typed or Printed Name and Signature

\_\_\_\_\_  
Title of Authorizing Official (KMP)

\_\_\_\_\_  
Date Signed